



COPY OF PAPERS
ORIGINALLY FILED

Atty Dkt No. 5100-0702
Client No. 0014

#3

COMBINED DECLARATION AND POWER OF ATTORNEY
FOR UTILITY PATENT APPLICATION

AS A BELOW-NAMED INVENTOR, I HEREBY DECLARE THAT:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: CELLS HAVING A SPECTRAL SIGNATURE, AND METHODS OF PREPARATION AND USE THEREOF the specification of which

__ is attached hereto
X was filed on October 5, 2001

and assigned Serial No. 09/972,744 and was amended on .

I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

I acknowledge and understand that I am an individual who has a duty to disclose information which is material to the patentability of the claims of this application in accordance with Title 37, Code of Federal Regulations, §§ 1.56(a) and (b) which state:

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated

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(2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

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or

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I do not know and do not believe this invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to said application. This invention was not in public use or on sale in the United States of America more than one year prior to this application. This invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on any application filed by me or my legal representatives or assigns more than six months prior to this application.

I hereby claim priority benefits under Title 35, United States Code § 119(e)(1) of any United States provisional application(s) for patent as indicated below and have also identified below any application for patent on this invention having a filing date before that of the application for patent on which priority is claimed:

<u>Application No.</u>	<u>Date of Filing (day/month/year)</u>	<u>Priority Claimed</u>
60/238,677	October 6, 2000	Yes <u>X</u> No <u> </u>
60/312,558	August 15, 2001	Yes <u>X</u> No <u> </u>

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Signature: Marcel Bruchez

Date 2/1/02

Full Name of Inventor: BRUCHEZ, Marcel P.

Citizenship: US

Residence: ~~Fremont, California~~ Belmont, California MB 2/1/02

Post Office Address: ~~312 River Creek, Fremont, California 94536~~

2425 Coronet Boulevard, Belmont, CA 94002

MB 2/1/02

Signature: _____

Date _____

Full Name of Inventor: DANIELS, R. Hugh

Citizenship: US

Residence: Palo Alto, California

Post Office Address: 136 Seale Avenue, Palo Alto, California 94301

Signature: _____

Date _____

Full Name of Inventor: DIAS, Jennifer

Citizenship: US

Residence: Dublin, California

Post Office Address: 8095 Aldea Street, Dublin, California 94568

Signature: Larry C. Mattheakis

Date 2/4/02

Full Name of Inventor: MATTHEAKIS, Larry C.

Citizenship: US

Residence: Cupertino, California

Post Office Address: 20612 Sunrise Drive, Cupertino, California 95014

Small Entity Determination in the U.S. for the Case Entitled "CELLS HAVING A SPECTRAL SIGNATURE AND METHODS OF PREPARATION AND USE THEREOF" (Serial No.09/972,744; Atty Dkt No. 5100-0702)

PLEASE READ AND MAKE THE APPROPRIATE SELECTION

Small entity according to U.S. Patent Office rules applies to patents owned by inventors, small business concerns with fewer than 500 employees, and non-profit organizations. If there is any assignment or license of rights, or obligation to assign or license rights to a large entity, i.e. a firm with more than 500 employees, then large entity applies.

☒ According to the above description, Quantum Dot Corporation is a small entity in the U.S.

☐ According to the above description, Quantum Dot Corporation is a large entity in the U.S.

Signature: _____

Name: KENNETH BABOVSHY
Title: VICE PRESIDENT

Date: 2/1/02



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Signature: _____

Date _____

Full Name of Inventor: BRUCHEZ, Marcel P.

Citizenship: US

Residence: Fremont, California

Post Office Address: 312 River Creek, Fremont, California 94536

Signature: 
Full Name of Inventor: DANIELS, R. Hugh
Citizenship: US

Date 2/11/02

Residence: Palo Alto, California

Post Office Address: 136 Seale Avenue, Palo Alto, California 94301

Signature: _____

Date _____

Full Name of Inventor: DIAS, Jennifer

Citizenship: US

Residence: Dublin, California

Post Office Address: 8095 Aldea Street, Dublin, California 94568

Signature: _____

Date _____

Full Name of Inventor: MATTHEAKIS, Larry C.

Citizenship: US

Residence: Cupertino, California

Post Office Address: 20612 Sunrise Drive, Cupertino, California 95014



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